

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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BT
9-9-02

Applicant(s): GRAY et al.

Serial No.: 09/839,585

Filed: April 23, 2001

Title: APPARATUS AND METHOD FOR
PREDICTING FAILURE OF A DISK
DRIVE

Group Art Unit: 2184

Examiner: Not Yet Assigned

RECEIVED

Attorney Docket No.: 122.0002

SEP 03 2002

Assistant Commissioner for Patents
Washington, D.C. 20231

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

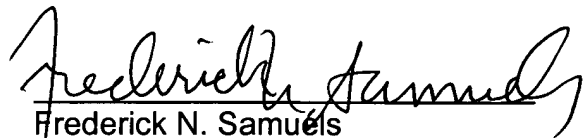
- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of
international application; or before mailing date of first office action on the
merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Certification under 37 CFR 1.97(e), or
☐ a \$210.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of
allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Certification under 37 CFR 1.97(e), and
☐ a petition under 37 CFR 1.97(d)(2)(ii), and
☐ a \$130.00 petition fee set forth in 37 CFR 1.17(i)(1).
(Filed after final action or notice of allowance, whichever occurs first,
but before payment of the issue fee)

Applicants submit herewith Form PTO 1449-Information Disclosure Citation with
copies, of patents, publications or other information of which Applicants are aware,
which Applicants believes may be material to the examination of this application and for
which there may be a duty to disclose in accordance with 37 CFR 1.56. Copies of the
listed documents are not being provided under 37 CFR 1.98(d), because copies are
present in U.S. Application Serial No. 09/157,382 from which priority has been claimed.

Neither this statement nor the listing of these documents on the accompanying form PTO-1449 should be considered as an admission by Applicants that these materials are prior art as to Applicants. In addition, this statement should not be construed as a representation that no better disclosures exist.

Entry of the Information Disclosure Statement and the accompanying Form PTO-1449 are respectfully solicited.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Frederick N. Samuels", written over a horizontal line.

Frederick N. Samuels

Reg. No. 34715

CAHN & SAMUELS, LLP

2000 P Street, N.W., Suite 200

Washington, DC 20036

Telephone: (202) 331-8777

Facsimile: (202) 331-3838

August 29, 2002

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Application Number	09/839,585
Filing Date	4/23/2001
First Named Inventor	Gray et al.
Art Unit	2184
Examiner Name	
Attorney Docket Number	122.0001

Sheet 1 of 1

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
	1	US-4,103,338	7/25/1978	CIZMIC et al.	<div style="text-align: center;"> <p>RECEIVED</p> <p>SEP 03 2002</p> <p>Technology Center 2100</p> </div>
		US-4,268,905	5/19/1981	JOHANN et al.	
		US-4,348,761	9/7/1982	BERGER	
		US-4,623,942	11/18/1986	KRAUS et al.	
		US-4,904,938	2/27/1990	O'REILLY et al.	
		US-4,949,036	8/14/1990	BEZINQUE et al.	
		US-4,979,055	12/18/1990	SQUIRES et al.	
		US-5,068,851	11/26/1991	BRUCKERT et al.	
		US-5,109,304	4/28/1992	PEDERSON	
		US-5,157,781	10/20/1992	HARWOOD et al.	
		US-5,185,881	2/9/1993	BROOKS et al.	
		US-5,237,551	8/17/1993	OGAWA et al.	
		US-5,257,255	10/26/1993	MORIMOTO et al.	
		US-5,355,121	10/11/1994	NAITO et al.	
		US-5,422,890	6/6/1995	KLINGSPORN et al.	
		US-5,497,651	12/26/1995	NAKAGUCHI	
		US-5,539,270	7/23/1996	KAJI et al.	
		US-5,557,183	9/17/1996	BATES et al.	
		US-5,661,615	8/26/1997	WAUGH et al.	
		US-			

[illegible]Date
Considered

document under WFO Standard 3.1, to if possible, Applicants to place a check mark here if English language translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.